

Court Alcohol and Drug Program Certification Overview

Application, PPM, and Forms

- The program director will submit the application for certification, supporting documents, and updated policies and procedures manual to IJC at least 30 days prior to the scheduled certification review date.
- The program director will submit an agenda detailing the interview schedule for IJC staff within two weeks of the scheduled review date.
- IJC will review and provide feedback regarding the policy and procedure manual and forms two weeks prior to the review so any suggested corrections can be made; findings will not be issued for corrections made prior to the review date.

Meetings

- On the day of the review, IJC will meet with the program supervising judge and director to review the agenda, describe the process, and answer any questions. The supervising judge and program director may use this time to identify highlights or challenges the program is experiencing, so that IJC can begin to identify resources that might be of benefit to assist the program.
- At the discretion of the program director, IJC will be available to meet with the director and staff to describe the certification review process and answer any questions the staff might have.
- IJC will meet with the program personnel and ancillary service providers, as well as members of the criminal justice entities collaborating with the program. This may include the prosecutor, public defense counsel, treatment representatives, education instructors, case managers, chief probation officer, auditor, clerk, etc. Program management are not required to attend interview appointments with IJC reviewers. A sample interview agenda is provided at the end of this document.

Reviewing the paperwork

- IJC will review compliance with program administration and certification procedures. Staff will review specific program practices with the program director.
- IJC will review a sample of program client files; the number of files will depend on the size of the program. Files will be chosen randomly by the IJC reviewers ensuring that all program staff are adequately represented. Following the review, the IJC staff will meet with program staff and the director individually to identify or clarify any questions that arise, and note any concerns. At the discretion of the program director, reviewers may meet with program staff as a group to note concerns and answer questions. The files will be reviewed for the following information:
 - ✓ Eligibility – court order, charging information, etc.
 - ✓ Consent forms
 - ✓ Client rights form
 - ✓ Case notes and documentation
 - ✓ Orientation form
 - ✓ Assessment form
 - ✓ Individual Service Contract

- IJC will review the program management files to ensure referral agreements and certification of treatment providers is documented. This information is not required to be provided prior to the site visit in the application packet.
- IJC will review program personnel files to ensure they contain applications/resumes, job descriptions, credentials, verification of qualifications/licensure, program orientation attendance, documentation of position changes, continuing education activities, ethics compliance, etc.

Reviewing the program organization

- IJC will review the facilities to ensure the policy on non-discrimination is posted visibly, and that the facility layout protects client privacy and confidentiality.
- IJC will review the budget, schedule of fees, collection procedures and expenditures from the user fee fund. IJC will obtain information on collection procedures and reports relating to collections and expenditures from the Clerk and Auditor prior to the site review and meet with them if needed.

Completing the process

- IJC will conduct an exit briefing with the director and supervising judge to discuss any outstanding issues that may result in a finding. IJC may provide a written summary of the review to the program director and supervising judge.
- IJC will complete and submit a final certification report to the supervising judge within sixty days of the review date. The final report details the program's compliance with IC 12-23-14 and the Rules for Court-Administered Alcohol and Drug Programs, and provides practice recommendations and commendations.

SAMPLE CERTIFICATION REVIEW AGENDA

DAY ONE

9:00am – 9:30am	In-briefing with Supervising Judge and Director	(Judge's office) (Reviewers 1&2)
9:30am – 12:00pm	Review of Program Management with Director	(Program office) (Reviewer 2)
9:30am – 10:00am	Interview with Prosecutor—Joe Smith	(Pros Office) (Reviewer 1)
10:00am – 10:30am	Interview with Probation—Sue Stillwell (CPO)	(Probation office) (Reviewer 1)
10:30am – 11:00am	Interview with Public Defender—Steve Nice	(PD office) (Reviewer 1)
11:15am – 12:00pm	Interview with Treatment Provider—XYZ Center, Dave Newborn	(Program Office) (Reviewer 1)
12:00pm – 1:00pm	Lunch	
1:00pm – 3:30pm	File Review	(Program office) (Reviewers 1&2)
3:30pm – 4:00pm	Meet with Program Director (if needed)	(Program office) (Reviewers 1&2)

DAY TWO

8:30am – 9:00am	Interview with Education Instructor(s)	(Program Office) (Reviewer 1)
8:30am – 9:30am	Followup with program director (as needed)	(Program Office) (Reviewer 2)
9:30am – 10:30am	Personnel Records Review	(Program office) (Reviewer 1)
10:30am – 12:00pm	Certification Summary Prep Time (or finish file review)	(Program Office) (Reviewers 1&2)
12:00pm – 1:00pm	Lunch Exit-briefing with Judge and Director (or meet in office just before or after lunch)	(Location TBD)
1:00pm – 3:00pm	Follow-up meeting with Director/staff (as needed) Finish file review (if needed)	(Program Office)